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Docket No. 70669



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Qi et al.  
Application No.: 09/976,674  
Filed: October 12, 2001  
Title: **NOVEL SERINE  
PROTEASE GENES  
RELATED TO DPP4**  
Group Art Unit: 1652  
Examiner: Walicka, Malgorzata A.

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Commissioner for Patents  
Washington, DC 20231  
on this date.

4/10/03

Date James J. Schumann  
Registration No. 20,856  
Attorney for Applicant(s)

#9  
M.J.  
6/2/03

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, DC 20231

Dear Sir:

This Information Disclosure Statement is submitted:

\_\_\_\_ Under 37 CFR §1.97(b) (within three months of the filing date of a national application or date of entry of an international application, or before the mailing date of a first Office Action on the merits, whichever occurs last).  
[Optional][However, should a first Office Action on the merits be mailed unbeknownst to the undersigned prior to the date of mailing of this paper, the fee requested under §1.17(p) may be charged to Deposit Account No. 06-1135.]

X  Under 37 CFR §1.97(c) together with either:  
     X  a statement under 37 CFR §1.97(e), or  
    \_\_\_\_ a fee under 37 CFR §1.17(p)  
        (after the 37 CFR §1.97(b) time period, but before the mailing date of a final Action, a Notice of Allowance, or an action that otherwise closes prosecution).

\_\_\_\_ Under 37 CFR §1.97(d) together with:  
    \_\_\_\_ a statement under 37 CFR §1.97(e), and  
    \_\_\_\_ a fee under 37 CFR §1.17(p)  
        (after the 37 CFR §1.97(c) time period, but on or before payment of the issue fee).

Information Disclosure Statement  
Application No. 09/976,674  
Page 2

In accordance with the duty of disclosure imposed by 37 CFR § 1.56 to inform the Patent Office of all patents, publications, applications and other information known by Applicants or Applicants' representative that may be material to the examination of the subject application, Applicants' representative hereby provides this Information Disclosure Statement that is prepared in accordance with 37 CFR §§ 1.97-1.98 and includes Form PTO-1449 with seven (7) references listed as items AA-AG.

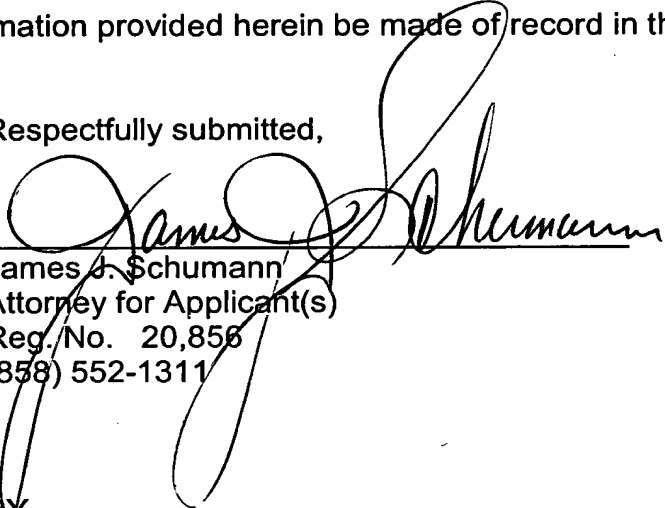
Also attached is a copy of the 8-page International Search Report prepared by the EPO. Copies of the references either not pertinent to the elected claims or already of record are not being forwarded.

The item listed on PTO-1449 as item AA is over 5500 pages in length; only pages 1, 357 and 2024-2026 are attached. Item AB is over 100 pages in length; only pages 1 and 64 and pages 18-20 of the Sequence Listing are attached. Item AC is in Japanese; only page 1 and pages 1-5 of the Sequence Listing are attached.

It is requested that the information provided herein be made of record in this application.

Respectfully submitted,

Dated: April 10, 2003

  
James J. Schumann  
Attorney for Applicant(s)  
Reg. No. 20,856  
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DOCKET NO.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Qi et. al.

Serial No.: 09/976,674

Filed: October 12, 2001

For: NOVEL SERINE PROTEASE  
GENES RELATED TO DPPIV

Group Art  
Unit: 1652

Examiner: Walicka, Malgorzata

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deposited with the United States Postal  
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on this date.

4/16/03  
Date James J. Schumann  
Registration No. 20,856  
Attorney for Applicant(s)

**CERTIFICATION FOR INFORMATION DISCLOSURE STATEMENT  
(37 CFR 1.97(e))**

Commissioner for Patents  
Washington, D.C. 20231

**IDENTIFICATION OF INFORMATION DISCLOSURE STATEMENT  
FOR WHICH THIS CERTIFICATION IS BEING MADE**

1. This certification is being made for the Information Disclosure Statement

- ☒ accompanying this certification.  
☐ filed (date)

**CERTIFICATION**

2. I, the person(s) signing below certify

- ☒ that each item of information contained in the information disclosure statement  
was first cited in a communication from a foreign patent office in a counterpart  
foreign application not more than three months prior to the filing of the  
information disclosure statement. 37 CFR 1.97(e)(1).

**OR**

- ☐ that no item of information contained in the information disclosure statement was  
cited in a communication from a foreign patent office in a counterpart foreign  
application or to the knowledge of the person signing the certification after making

reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 CFR 1.97(e)(2).

**IDENTIFICATION OF PERSON(S) MAKING THIS CERTIFICATION**

3. The person making this certification is

☐ the inventor(s) who signs below

\_\_\_\_\_  
SIGNATURE OF INVENTOR

\_\_\_\_\_  
Name of Inventor who is signing

☐ a person who is substantively involved in the preparation or prosecution of the application, and who is associated with the inventor, with the assignee, or with anyone to whom there is an obligation to assign the application (37 CFR 1.56(c)) and who signs below.

\_\_\_\_\_  
SIGNATURE OF PERSON

\_\_\_\_\_  
Name of person who is signing

\_\_\_\_\_  
Address of person who is signing:

☒ the attorney who signs below on the basis of the information:

☐ supplied by the inventor(s).

☐ supplied by an individual designated in §1.56(c).

☒ in the attorney's file.

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